

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PATENT

In re Application of:
Shayne Young

Serial No. 09/885,865

Filed: June 19, 2001

For: METHODS AND SYSTEMS FOR
RECONCILING A FORWARD
CONVERSION SECURITIES
STRATEGY



§ Examiner: Unknown
§
§ Group Art Unit: 2161
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§ Atty. Dkt. 5226-01700
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Certificate of Mailing 37 C.F.R. § 1.8(a)

I hereby certify that this correspondence is being deposited with the U.S. Postal Service with sufficient postage as First Class Mail, postage prepaid, in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231, on the date below:

4-5-02 Date Jackie L. Pitre

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
Washington, D.C. 20231

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Sir:

Applicant respectfully requests that the Examiner consider the following U.S. Patent applications: 09/460,045, 09/629,657, 09/629,356, 09/676,019, 09/876,270, 09/866,500, 09/885,817, 09/970,078, 09/934,448 and 10/014,948. A copy of each of the above-referenced applications is enclosed for the convenience of the Examiner. Each of the above-referenced patent applications is to be considered as "Trade Secret" materials. As such, each of the above-referenced applications has been sealed and clearly marked as "Trade Secret" materials. The enclosed applications are not open to the public. The enclosed patent applications are to be opened only by an Examiner or other authorized Patent and Trademark Office employees.

It is respectfully requested that this Information Disclosure Statement be entered and the documents listed on attached Form PTO-1449 be considered by the Examiner and made of record. A copy of each listed document is enclosed for the convenience of the Examiner.

Should any fees be required, the Commissioner is authorized to charge said fees to Conley, Rose & Tayon, P.C. Deposit Account No. 50-1505/5226-01700/EBM.

Respectfully submitted,

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Attorney for Applicant(s)

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Date: 4/4/02

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Form PTO-1449 (modified)

List of Patents and Publications
for Applicant's Information
Disclosure Statement
(Use several sheets if necessary)

ATTY. DOCKET NO: 5226-01700

SERIAL NO: 09/885,865



APPLICANT: Shayne Young

FILING DATE: June 19, 2001

GROUP: 2161

U.S. PATENT DOCUMENTS

EXAM. INITIALS	REF. DES	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	B1	4,674,044	6/1987	Kalmus, et al.			
	B2	5,347,452	9/1994	Bay, Jr.			
	B3	5,787,402	7/1998	Potter, et al.			
	B4	5,950,176	9/1999	Keiser, et al.			
	B5	6,014,643	1/2000	Minton			
	B6	6,016,483	1/2000	Rickard, et al.			
	C1	6,260,025	7/2001	Silverman, et al.			
	C2	6,006,206	12/1999	Smith, et al.			
	C3	5,987,432	11/1999	Zusman, et al.			

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EXAM. INITIALS	REF. DES	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION. YES/NO

RECEIVED**MAR 10 2003****Technology Center 2100****RECEIVED****JUL 24 2002****OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)****GROUP 3600**

B7	"Press Release, "3DStockCharts.com Teams Up With ECN Industry Leader," October 1999, pp. 1-2.
B8	"Real Tick III Tutorial," © 1999 The Momentum Trader and Swingtrader.net, 6 pgs.
B9	"Using the Order Entry Screen in Real Tick III," January 1999, pp. 1-2.
AA	Stand & Poor's ComStock, "Xpresso," 5 pages, © 1998 Standard & Poor's ComStock

EXAMINER:

DATE CONSIDERED:

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the patent owner.

Form PTO-1449 (modified)

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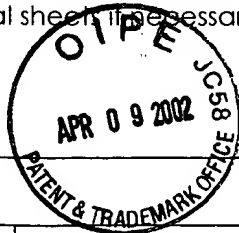
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EXAM. INITIALS	REF. DES	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	C4	5,966,531	10/1999	Skeen, et al.			
	C5	5,924,083	7/1999	Silverman, et al.			
	C6	5,924,082	7/1999	Silverman, et al.			
	C7	5,727,165	3/1998	Ordish, et al.			
	C8	5,195,031	3/1993	Ordish			
	C9	5,136,501	8/1992	Silverman, et al.			
	C10	5,077,665	12/1991	Silverman, et al.			
	C11	5,034,916	7/1991	Ordish			
	C12	5,003,473	3/1991	Richards			

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FOREIGN PATENT DOCUMENTS

EXAM. INITIALS	REF. DES	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION. YES/NO

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

	C13	"gr8trade from Protrader User's Manual," Protrader Securities Corporation, pp.1-69.; 3/2000					
	C14	Abell, et al.; "The Sixth Market: The Electronic Investor Revolution;" 12/2000					

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	C15	4,750,135	6/1988	Boilen			
	C16	4,745,559	5/1988	Willis, et al.			
	C17	6,278,982	8/2001	Korhammer, et al.			

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